

# PERFORMANCE BUDGET



*Fiscal Year 2006*

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**U. S. Railroad Retirement Board**

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## **Introduction**

The Railroad Retirement Board (RRB) has developed this performance budget for fiscal year 2006 to support our mission (see Figure 1 on page 37) and to communicate our intentions for meeting challenges and seeking opportunities. We will use the plan to hold managers accountable for achieving program results and to improve program effectiveness and public accountability by promoting a renewed focus on results, service quality, and customer satisfaction. We will also use the plan to help managers improve service delivery by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality.

This plan is closely linked to our **Strategic Plan for Fiscal Years 2003 - 2008** and can be easily cross-referenced to that plan. The President's budget identified a set of government-wide reforms that agencies are expected to carry out over the next several years. These reforms are reflected in this performance budget in order to communicate our intentions for meeting these challenges. We will hold managers accountable for achieving these reforms, thereby making our agency more citizen-centered, results-oriented, and market-based.

The performance budget provides detailed performance goals, performance indicators and target levels to guide agency managers as they implement our Strategic Plan. It also communicates our plans to our stakeholders, including the railroad community, the Administration, the Congress, and other government agencies. It is one part of a comprehensive set of interlocking plans that cover all major aspects of agency operations. In this plan, we have established specific performance goals (with performance indicators and projected performance levels) to be achieved in fiscal year 2006. Additionally, it supports our other functional plans required to manage the agency. These functional plans include the **Customer Service Plan** and the **Information Technology (IT) Capital Plan**. We have also developed a separate **Enterprise Architecture Capital Asset Plan**, which includes investments needed to implement the agency's target enterprise architecture. These plans reflect input and feedback from our stakeholders, and they result in the annual submission of the agency budget to OMB and the Congress.

The RRB's strategic and performance goals are presented on pages 38-45. Information on anticipated performance in fiscal year 2006 for each performance goal, at the President's \$100 million budget level and at the agency's request level of \$119 million, is provided in the Exhibit.

In support of the President's Management Agenda initiative to improve financial performance, by November 15, 2006, we will prepare and submit to the President and the Congress a report on program performance for fiscal year 2006, as part of our combined Performance and Accountability Report. The report will be audited by the RRB's Office of Inspector General (OIG) to help ensure the reliability and utility of our performance information. The reported information will be derived from agency systems and will compare the performance goals and indicators to actual program performance for that fiscal year. This performance budget meets the requirements of the Government Performance and Results Act (GPRA) and was prepared by RRB employees.

Figure 1

***RAILROAD RETIREMENT BOARD  
MISSION STATEMENT***

*The RRB's mission is to administer retirement/survivor and unemployment/sickness insurance benefit programs for railroad workers and their families under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. These programs provide income protection during old age and in the event of disability, death or temporary unemployment and sickness. The RRB also administers aspects of the Medicare program and has administrative responsibilities under the Social Security Act and the Internal Revenue Code.*

*In carrying out its mission, the RRB will pay benefits to the right people, in the right amounts, in a timely manner, and will take appropriate action to safeguard our customers' trust funds. The RRB will treat every person who comes into contact with the agency with courtesy and concern, and respond to all inquiries promptly, accurately and clearly.*

**Strategic Goal I: *Provide Excellent Customer Service.*** We aim to satisfy our customers' expectations for quality service both in terms of service delivery options and levels and manner of performance. At the President's budget level, we plan to allocate \$76,787,000 and 717 full-time equivalent employees to this goal. At the agency request level, we are requesting \$88,390,000 to fund 813 full-time equivalent employees to maintain our high level of customer service. We have established four performance goals that focus on the specifics of achieving this strategic goal.

**Performance Goal I-A: Pay benefits accurately and timely.** The RRB is committed to ensuring that we pay the right benefits to the right people in a timely manner. We have a number of measures in place to track the accuracy and timeliness of the actions we take in a year, regarding both Railroad Retirement Act (RRA) and Railroad Unemployment Insurance Act (RUIA) programs.

The principal indicators of **accuracy** are the benefit payment and case accuracy rates in each program. Our performance goal is to ensure that we can continue to meet or exceed 99 percent payment accuracy in the payments we initiate or manually adjust in a given year. (Payment accuracy is defined as the percentage of dollars paid correctly as a result of the adjudication action performed.) We have also established case accuracy goals (the number of cases paid without material error/the number of cases paid) so that at least 94 percent of cases handled under the RRA are accurate, and that at least 97 percent of those paid under the RUIA are handled correctly. To accomplish these goals, we will:

- *Monitor payment and case accuracy and identify problems.*
- *Provide feedback and take additional preventive actions as appropriate.*
- *Ensure accurate, up-to-date, accessible instructions to support our front-line employees as they provide customer support.*
- *Inform our customers about their responsibilities.*
- *Ensure that the Customer Service Plan is comprehensive and is revised when appropriate.*
- *Monitor key payment workloads.*

In accordance with the Improper Payments Information Act of 2002, the RRB has reviewed its benefit payment programs and has concluded they do not have significant improper payments as defined by OMB guidance M-03-13. Nevertheless, we will continue to monitor our benefit payment programs and take the necessary action to minimize improper payments.

Benefit payment accuracy rates have historically exceeded 99 percent. However, adequate funding is needed to continue high levels of payment accuracy. Without adequate funding, payment accuracy will decline.

Our performance in the area of benefit **timeliness** is also a key indicator of our customer service. We have a customer service plan with timeliness standards (i.e., targets for when to expect the service requested) in 10 separate claims processing service areas, as shown in the Exhibit to this performance budget. The composite for our actual overall performance, through March 2004, in these 10 areas is 98.4 percent. (The composite of our performance targets was 97.7 percent.)

This means that over 98 percent of our customers got the service promised in our customer

**Overall timeliness performance  
(As of March 2004):**

- Retirement applications: 96.2%  
(target: 94.0%)
- Survivor applications: 92.6%  
(target: 89.3%)
- Disability applications/payments: 71.5%  
(target: 79.0%)
- RUIA applications/claims: 99.6%  
(target 98.9%)

service plan. We have also developed composite indicators to illustrate our performance in our 4 major benefit areas. (See adjacent box.)

Although we have consistently achieved timeliness rates well in excess of 90 percent in almost all areas of claims processing, we must acknowledge our continued inability to achieve higher goals for timeliness in the disability program. In spite of significant efforts in this area over the past several

years, we realize that our current goals, which are restricted by our limited available resources, are still not high enough to satisfy our customers' needs and expectations. We will continue to strive for improved performance in this area.

**Performance Goal I-B: Provide relevant, timely, and accurate information which is easy to understand.** In addition to making payments, we provide a variety of information to our customers. We provide general information through our website, publications, and our toll-free automated Help Line. We also provide information to individuals through annual statements of wages and compensation, annuity estimates, notices of annuity and benefit awards and changes, annual income tax statements, and answers to questions regarding benefits. It is important that we provide this information in a timely manner and in ways that are accessible and responsive to the individual's needs. The information must also be meaningful to the customer and easy to understand. The timeliness of our information is measured by how well we succeed in achieving the levels of service designated in our Customer Service Plan and by maintaining acceptable workload balances. Customer feedback through American Customer Satisfaction Index (ACSI) surveys and directly from customers will help us determine whether the information we are providing satisfies our customers' needs and expectations. To accomplish this, we will:

- *Listen to our customers to determine their expectations and whether those expectations are being met.*
- *Adjust our Customer Service Plan or our processes, based on customer feedback.*
- *Monitor key informational workloads.*
- *Focus on interactive electronic solutions that provide immediate responses and intermediate status updates.*

**Performance Goal I-C: Provide a range of choices in service delivery methods.** To fulfill customers' needs, we must provide high quality, accurate services on a timely basis, and in ways that are accessible and convenient to all our customers, including the elderly and those with impairments. Consistent with our vision statement, we strive to provide a broad range of choices for customer service. Our customers have indicated strongly that they want us to continue personal service. We intend to do so through our nationwide network of local district offices. We will also take advantage of technological developments that will satisfy our customers.

Our level of performance will be measured by how well we succeed in providing the level of service our customers expect, and by the number of new electronic services we can provide in each program at a reasonable cost. Our goal is to expand customer choice by offering alternative access to our major services. To achieve this objective, over the course of the next 5 years, we plan to:

- *Provide our customers with information as well as the ability to apply for benefits over the Internet.*
- *Provide additional services through the interactive voice recognition telephone system.*
- *Seek customers' service delivery preferences.*

**Performance Goal I-D: Ensure efficient and effective business interactions with covered railroad employers.** To correctly pay benefits, the RRB must receive timely and accurate reports of the compensation and service months of covered employees. It is the responsibility of the employer to provide these reports with respect to its employees. To ensure the receipt of accurate and timely annual reports, as well as the proper filing of other reports and forms, the RRB must strive for a system of reporting which is easily understood, places minimal burden on employers and ensures compliance with the applicable laws. To accomplish this, the RRB intends to:

- *Continue to develop a system whereby the employer can conduct daily business transactions and file required reports over a secure website.*
- *Continue to look for ways to encourage employers to file accurate and timely annual service and compensation reports.*
- *Monitor the number and types of protests by employees disputing the accuracy of their service and compensation records.*

**Strategic Goal II: Serve as Responsible Stewards for Our Customers' Trust Funds and Agency Resources.** The RRB is committed to fulfilling its fiduciary responsibilities to the rail community. At the President's budget level, we plan to allocate \$23,213,000 and 205 full-time equivalent employees to this goal. At the agency request level, we are requesting \$30,898,000 to fund 233 full-time equivalent employees to maintain our high level of stewardship. We have established four objectives that focus on this goal.

**Performance Goal II-A: Ensure that trust fund assets are projected, collected, recorded and reported appropriately.** The RRB is committed to prudent management of its trust funds. Our success in this objective is reflected through annual audited financial statements, actuarial valuations, our financial projections, debt collection, experience-based contribution rates, and payroll tax and railroad employee compensation reconciliations. To accomplish this commitment, we will:

- *Continue to issue annual audited financial statements.*
- *Continue to perform the RRB's actuarial valuations and financial projections.*
- *Continue to estimate the RRB's funding requirements for the Dual Benefits Payments Account.*
- *Continue to carry out the RRB's debt collection policy.*

- *Continue to accurately and timely determine the experience-based contribution rates required under the unemployment and sickness insurance program.*
- *Verify that payroll taxes are fully collected and properly recorded.*

In support of the President's initiative to improve financial performance, we prepared a combined Performance and Accountability Report for fiscal year 2003. In January 2004, the RRB's OIG issued an unqualified ("clean") opinion on the RRB's 2003 financial statements, which were included in that report. In their evaluation of internal controls, the OIG noted two material weaknesses. While RRB management does not agree that there is a material weakness in the agency's overall control environment, significant efforts are underway to correct a material weakness regarding information security training and access controls.

**Performance Goal II-B: Ensure the integrity of benefit programs.** As part of our fiduciary responsibilities to the rail community, we must ensure that the correct amount of benefits is being paid to the right people. We match our benefit payments against the Social Security Administration's earnings and benefits database, the Centers for Medicare and Medicaid Services' utilization and death records, the Office of Personnel Management's benefit records, and State wage reports, usually via computer tapes, and administer other benefit monitoring programs to identify and prevent erroneous payments. We also refer some cases to the RRB's OIG for investigation. After investigation, the Inspector General may pursue more aggressive collection methods, which include civil and criminal prosecution.

We measure the effectiveness of the matching programs each year by comparing the dollars collected or saved through these initiatives to their cost. For example, in fiscal year 2003, the RRB invested the equivalent of almost 28 full-time employees, at a cost of approximately \$1.93 million, in program integrity efforts. This resulted in \$10.35 million in recoveries, \$625,000 in benefits denied, and the referral of 128 cases to the OIG for investigation. This is approximately \$5.68 in savings for each dollar invested in these activities.

To accomplish this objective, we will:

- *Maintain established matching programs.*
- *Explore opportunities for additional matching programs where cost-effective.*
- *Continue our program integrity reviews.*

**Performance Goal II-C: Ensure effectiveness, efficiency, and security of operations.** How we do our business is a critical component of good stewardship. The RRB is committed to effective, efficient and secure internal operations. Many factors and programs contribute to this goal. We have ongoing programs which help us assess our performance in these areas. We use our management control review process as a means of reviewing critical agency processes in order to provide reasonable assurance of the effectiveness and efficiency of our programs and operations. If material weaknesses are detected, we take swift, aggressive, corrective action. In addition, we perform a variety of quality assurance activities to ensure that our benefit programs



comply with established policies, standards and procedures. We consider the findings from these reviews as we plan our information technology initiatives. To achieve our goals for efficient, effective and secure operations, we will:

- *Continue to develop an effective succession planning program.*
- *Ensure the privacy and security of our customers' transactions with the RRB.*
- *Improve our ability to control and monitor information technology investments.*
- *Continue to seek ways to increase competitive sourcing opportunities.*
- *Make greater use of performance-based contracts.*
- *Expand our participation in e-Government initiatives.*
- *Request additional funding for information technology initiatives under the RRB's Enterprise Architecture Capital Asset Plan.*

In addition to our ongoing activities, during the planning period we will be placing special emphasis on strategic management of human capital, competitive sourcing and expanded electronic government. These have been identified as key areas in the President's Management Agenda.

**Fiscal Year 2006 Information Technology  
Capital Plan Investments**

OMB Guidance Level

Mainframe .....	\$175,000
Document imaging.....	100,000
System development tools .....	50,000
Network/server operations.....	338,000
Standard workstation infrastructure.....	500,000
e-Government .....	150,000
Information security .....	150,000
IT task orders .....	250,000
Requirements analysis - FFS conversion..	<u>200,000</u>
Subtotal at the \$100 million level.....	\$1,913,000

Additional at Agency Request Level

Document imaging.....	200,000
Videoconferencing & distance learning ...	75,000
e-Government .....	250,000
Records management.....	200,000
IT task orders .....	<u>250,000</u>
Total Investments.....	\$2,888,000

See the IT Initiatives tab for more information.

***Strategic Management of Human Capital*** – Strategic management of human capital is a primary initiative of the President's Management Agenda. Accordingly, the RRB has focused on several aspects of the human capital standards. Furthermore, we are using the Human Capital Assessment and Accountability Framework as a guide to help us meet the standards. Following are some of the initiatives we have undertaken as we strive to make the transformation.

To effectively plan and address the non-technical training and development needs of RRB managers, a contractor, FPML, was selected to conduct a comprehensive training needs assessment. The assessment of managers' non-technical training is directly linked to certain RRB strategic objectives. In fiscal year 2004, the RRB installed RRBVision, a Windows-based web communications system that allows users to view video presentations with accompanying training materials, such as PowerPoint presentations or on-line screens of mainframe or PC applications. Presentations can be viewed in real-time with limited interaction between presenter and viewer and saved to the server for later on-demand viewing. Our interest in obtaining this system was to provide our nationwide network of field offices with regularly scheduled, consistent training and to give us an additional tool to use for training within headquarters.

In the area of succession planning, we completed a detailed analysis that included employee eligibility, historical retirement trends, and projections for the future. We concluded that the succession problem is not limited to the executive and top management ranks, but extends to all levels of employment. This requires us to prepare employees in the middle grades to move up into management and to find ways to bring in entry-level employees. However, we realize the impact of limited budget resources on our ability to hire new employees.

In January 2004, the Board Members met with the Executive Committee (EC) to discuss the status of current agency operations and the strategic direction for the next fiscal years. At the Board Members' direction, the EC began working with a professional facilitator to develop recommendations that would provide cost savings for the agency and enable us to continue agency operations in an efficient and effective manner well into the future. A proposal for operational/organizational changes was presented to the Board Members in late July 2004, and is currently under consideration.

In keeping with the Administration's policy of consolidating payroll systems, working with the General Services Administration (GSA), the RRB successfully migrated to its payroll system on schedule and within budget. RRB employees now enter time and attendance data on the GSA system in a web-based environment, with all processing and issuance of paychecks handled by GSA.

***Competitive Sourcing*** -- In 2003, the RRB listed 12 commercial activities on its FAIR Act inventory after completing a detailed study of its activities to ensure the accuracy of its inventory. The 2004 inventory was largely unchanged as the agency's basic activities and structure remained the same, though it reflected reduced staffing levels. After reviewing revisions to OMB Circular A-76, the RRB hopes to use the new streamlined procedures to conduct competitive sourcing reviews in fiscal year 2005 and beyond. In the process, we will continue to meet any goals in this area established by OMB.

In 1994, the Office of Federal Procurement Policy (OFPP) developed a pilot project in which agencies volunteered to convert continuing contract requirements to performance-based service contracts (PBSC) when they came up for renewal. The RRB was one of eight agencies that participated in the pilot. This pilot demonstrated that the use of these methods should lead to more cost-effective acquisitions, better value and greater competition. OFPP's Best Practices Guide on PBSC cites the RRB program as an example of proactive management support and direction from the highest agency levels. In March 2001, OMB issued guidance on expanded use of PBSC. Specifically, it set a fiscal year 2002 goal to award at least 20 percent of service contract dollars, on contracts of more than \$25,000, using PBSC techniques. In fiscal years 2002 and 2003, the RRB awarded about 35 percent of eligible service contract dollars using PBSC methods. Since that time, the Procurement Executives Council and the President's Management Council have endorsed increasing the goal to 50 percent by fiscal year 2005. The RRB will strive to meet or exceed any goals in this area established by OMB.

***Expanded Electronic Government*** -- Our purchasing staff publishes all required and many optional procurement notices via an Internet connection to the government-wide, point-of-entry

website ([www.FedBizOpps.gov](http://www.FedBizOpps.gov)). The notices include pre-solicitation and award notices, as well as market surveys. We have over 90 employees authorized to use Fast Pay Credit Card for rapid micro-purchases or other simplified acquisitions. In 2002, we competitively awarded a Blanket Purchasing Agreement to a vendor to acquire office supplies, with a next business day delivery, by using an Internet-based ordering system.

Also, as one of the 24 initiatives under the e-Government goal of the President's Management Agenda, we are participating in the Integrated Acquisition Environment (IAE). The RRB has registered as a business partner to make use of electronic data exchange for intra-governmental ordering and billing to reduce payment and collection problems. The RRB has taken necessary steps to implement requirements in this area that took effect on October 1, 2003. These included implementing a requirement that contractors, whose contracts exceed \$2,500, be listed on a centralized registration system and increasing on-line reporting of such contracts using common data elements.

The RRB is participating in the E-Gov Business Gateway Initiative. The E-Forms Catalog provides citizens and businesses with a common access point to Federal agencies and business forms. It provides these parties with the ability to search for forms needed to interact with the Federal government. This catalog is a first step in a project whose goal is to provide a single site where citizens and businesses cannot only locate a form, but fill it out and submit it electronically.

In 2004, we initiated an on-line Retirement Planning Estimation program, provided the capability for customers to submit unemployment insurance applications on-line, and continued to expand our on-line Employer Reporting capability. By 2005, we will add the capability for customers to submit unemployment insurance claims on-line.

**Fiscal Year 2006 e-Government Initiatives**

*RRB Helpline enhancement (Annuity status inquiries)*

**And at the Agency request budget level only.  
(Assumes full funding as requested for FY 2005  
& FY 2006 in the Enterprise Architecture  
Capital Asset Plan)**

*File sickness insurance claims on-line*

*Apply for a survivor annuity on-line*

*Expand the Employer Reporting System*

We anticipate providing additional e-Government options to our customers, eventually allowing them to perform all primary functions electronically. Our immediate goal is to provide Internet unemployment insurance claims capabilities, expand functionality to our RRB Helpline (interactive voice response), and further expand the Employer Reporting System. Our plan assumes there will be no change in agency priorities or resource allocations that would draw support from these initiatives. Also, the number and functionality of options provided will be constrained by available funding.

The initiatives to provide the capabilities to file sickness insurance claims, and apply on-line for a survivor annuity will require additional contractor assistance provided only at the agency request level.

**Performance Goal II-D: Effectively carry out the responsibilities of the Railroad Retirement Board under the Railroad Retirement and Survivors' Improvement Act of 2001 with respect to the activities of the National Railroad Retirement Investment Trust.**

Although the RRB no longer has primary responsibility for the investment of the trust fund monies, it continues to have responsibilities in ensuring that the new National Railroad Retirement Investment Trust, and its seven-member Board of Trustees, comply with the provisions of the RRA. This responsibility will be fulfilled through review of the monthly reports submitted by the Trust, the annual management reports submitted by the Trust, and the annual audit reports of the Trust's financial statements.

The RRB has authority to bring civil action should it detect any violation of the RRA or noncompliance with any of the provisions of that Act.

## **Information Security Program**

The RRB continues to take actions to strengthen its information security program as a whole. In fiscal year 2004, we continued to expand the agency's disaster recovery capability by conducting a business impact analysis using contractual assistance. The Chief Security Officer, who heads the Risk Management Group, is responsible for the RRB's information security program; additional staffing in the group includes an Information Technology (IT) Security Specialist and an IT Assurance Analyst. Contractual support has provided additional resources to address effective risk management for specialized areas, as needed. Risk management at the RRB has been classified as either **strategic or operational**.

- **Strategic Risk Management:** The Chief Security Officer, who acts in the larger capacity of director of enterprise risk management, is responsible for strategic elements that include:
  - Planning and integrating enterprise-wide IT risk management policy, procedures and guidance.
  - Assisting business units in conducting certification and accreditation of the RRB's major applications and general support systems.
  - Coordinating agency-wide security policy as well as assessing and underwriting agency-wide security infrastructure and resource investments, and implementing effective enforcement solutions.
- **Operational Risk Management:** Various IT and business unit managers are responsible for day-to-day monitoring and management of the risk posture of the agency including: the administration of access rights (e.g., passwords); ultimate accountability for the integrity of information assets usually associated with application design and information ownership; and security operations processes (research, monitoring, scanning, incident response management, reporting, and forensics).

RRB Administrative Circular IRM-8, The Information Security Program of the Railroad Retirement Board, identifies the responsibilities for security throughout the organization. During fiscal year 2005, the Risk Management Group will:

- install and fine tune the Intrusion Detection System (IDS),
- conduct a network vulnerability assessment with contractor support,
- provide corrective action to resolve audit recommendations,
- assist in developing procedures that improve proper use of access controls of LAN/WAN and mainframe systems,
- incorporate procedures for certification and accreditation into the system development life cycle in accordance with newly developed guidance and standards from the National Institute of Standards and Technology,
- complete the documentation of the Risk Management assessable unit for management control review,

- 
- plan and provide technical training for the Computer Security Incident Response Team, general awareness training for agency employees, and specific training for employees with responsibilities for information system security,
  - obtain contractual support to develop a template for a security testing and evaluation methodology to be used for major application systems, and
  - conduct and/or ensure ongoing system security reviews and tests, and develop associated reports.

The annual budget for the group during fiscal year 2006 will be approximately \$450,000, including salaries, benefits, training, and contractual assistance which may be needed to perform audits and evaluations of systems or to provide expertise and guidance on preventative measures required to address the latest threats and vulnerabilities.

Railroad Retirement Board FY 2006 Initial Performance Budget	2001 Actual (At \$95m)	2002 Actual (At \$97.6m)	2003 Actual (At \$99.35m)	2004 Actual (At \$100.7m)	2005 Request Level (At \$110.66m)	2005 President’s Budget Level (At \$102.6m)	2006 Request Level (At \$119.288m)	2006 President’s Budget Level (At \$100m)	
STRATEGIC GOAL I: Provide Excellent Customer Service									
Performance Goal I-A: Pay benefits accurately and timely.									
1. Achieve a railroad retirement benefit payment recurring accuracy rate of at least 99%. <sup>1/</sup> (Measure: % accuracy rate)	Initial payments:	99.89%	99.97%	99.91%	FY 2004 data not available	99.80%	99.00%	99.80%	99.00%
	Sample post recurring payments:	99.98%	99.94%	99.70%	FY 2004 data not available	99.90%	99.00%	99.90%	99.00%
2. Achieve a railroad unemployment/sickness insurance benefit payment accuracy rate of at least 99%. <sup>1/</sup> (Measure: % accuracy rate)	Unemployment:	99.34%	99.12%	98.76%	100% through 1 <sup>st</sup> quarter of FY 2004	99.60%	96.50%	99.60%	94.00%
	Sickness:	99.76%	99.94%	100%	99.5% through 1 <sup>st</sup> quarter of FY 2004	99.80%	96.50%	99.80%	96.50%
3. Review benefit payment programs in accordance with the Improper Payments Information Act of 2002 and initiate action required under the Act. (Measure: Yes/No)		New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	Completed in FY 2004	Completed in FY 2004	Completed in FY 2004	Not applicable	Not applicable
4. Achieve a railroad retirement case accuracy rate of at least 94%. <sup>1/</sup> (Measure: % of case accuracy)	Initial cases:	New indicator for FY 2002	94.7%	93.6%	FY 2004 data not available	93.5%	89.0%	93.5%	88.0%
	Post cases:	New indicator for FY 2005	98.2%	96.1%	FY 2004 data not available	96.5%	92.0%	96.5%	91.0%

Note: The RRB's budget for fiscal year 2005 also included a separate request for \$4,947,800 related to the Enterprise Architecture Capital Asset Plan, resulting in a total request of \$115,607,800.

<sup>1/</sup>Payment Accuracy Rate – the percentage of **dollars** paid correctly as a result of adjudication actions performed.

Case Accuracy Rate – the percentage of **cases** that do not contain a material payment error. Case accuracy rates reflect only those errors that are detected as a result of reviewing award actions performed during the fiscal year being studied. (A material error is (1) an incorrect payment of \$5.00 or more at the point the error is identified, (2) an incorrect payment of less than \$5.00 totaling 1 percent or more of the monthly rate, or (3) any situation in which a non-entitled benefit is paid.)

<b>Railroad Retirement Board FY 2006 Initial Performance Budget</b>	<b>2001 Actual (At \$95m)</b>	<b>2002 Actual (At \$97.6m)</b>	<b>2003 Actual (At \$99.35m)</b>	<b>2004 Actual (At \$100.7m)</b>	<b>2005 Request Level (At \$110.66m)</b>	<b>2005 President's Budget Level (At \$102.6m)</b>	<b>2006 Request Level (At \$119.288m)</b>	<b>2006 President's Budget Level (At \$100m)</b>
5. Achieve a railroad unemployment/sickness insurance case accuracy rate of at least 97%. <sup>1/</sup> (Measure: % of case accuracy)	New indicator for FY 2002	98.1%	98.5%	100% through 1 <sup>st</sup> quarter of FY 2004	97.0%	93.0%	97.0%	91.0%
	New indicator for FY 2002	99.5%	100%	99% through 1 <sup>st</sup> quarter of FY 2004	98.0%	94.0%	98.0%	93.0%
6. Railroad retirement employee or spouse receives initial annuity payment, or a decision, within 35 days of annuity beginning date, if advanced filed. (Measure: % ≤ 30 processing days <sup>2/</sup> )	95.6%	94.7%	95.1%	94.7% (as of 03/31/04)	93.0%	90.0%	93.0%	89.0%
7. Railroad retirement employee or spouse receives initial annuity payment, or notice of denial, within 65 days of the date the application was filed, if not advanced filed. (Measure: % ≤ 60 processing days <sup>2/</sup> )	95.2%	96.0%	96.7%	97.8% (as of 03/31/04)	95.0%	91.0%	95.0%	90.0%
8. Survivor annuitant not already receiving a benefit receives initial payment, a decision, or notice of transfer to SSA within 65 days of the annuity beginning date, or date filed (whichever is later). (Measure: % ≤ 60 processing days <sup>2/</sup> )	80.9%	81.4%	86.0%	84.5% (as of 03/31/04)	80.0%	74.0%	80.0%	72.0%
9. Survivor annuitant receiving benefits as spouse receives payment as survivor, notice of denial, or notice of application transfer to SSA, within 35 days of RRB receipt of the notice of employee's death. (Measure: % ≤ 30 processing days <sup>2/</sup> )	91.1%	91.3%	91.8%	93.6% (as of 03/31/04)	89.0%	87.0%	89.0%	85.0%
10. Applicant for any railroad retirement death benefit receives payment, or notice of denial within 65 days of date filed. (Measure: % ≤ 60 processing days <sup>2/</sup> )	93.7%	96.0%	95.2%	94.3% (as of 03/31/04)	93.5%	87.0%	93.5%	85.0%
11. Unemployed railroad worker receives UI claim form, or notice of denial, within 15 days of the date application filed. (Measure: % ≤ 10 processing days <sup>2/</sup> )	99.7%	98.7%	100%	99.5% of sample cases (as of 03/31/04)	98.0%	94.0%	98.0%	93.0%

<sup>2/</sup> Allows 5 days for customer receipt.



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12. Railroad employee unable to work due to temporary illness or injury, receives SI claim form, or notice of denial, within 15 days of the date application filed. (Measure: % $\leq$ 10 processing days <sup>2/</sup> )	99.5%	99.3%	99.3%	99.2% (as of 03/31/04)	98.0%	94.0%	98.0%	93.0%
13. Railroad employee, unemployed or unable to work due to temporary illness or injury, receives a payment for unemployment or sickness insurance benefits, or a decision, within 15 days of claim receipt. (Measure: % $\leq$ 10 processing days <sup>2/</sup> )	99.7%	99.7 %	99.7%	99.7% (as of 03/31/04)	99.0%	95.0%	99.0%	94.0%
14. Disabled applicant or family member receives notice of decision to pay or deny within 105 days of the date application for disability is filed. (Measure: % $\leq$ 100 processing days <sup>2/</sup> )	56.5%	53.7%	56.3%	48.6% (as of 03/31/04)	65.0%	50.0%	60.0%	48.0%
15. Disabled applicant receives payment within 25 days of decision or earliest payment date (whichever is later). (Measure: % $\leq$ 20 processing days <sup>2/</sup> )	94.1%	94.2%	94.1%	95.1% (as of 03/31/04)	93.5%	90.0%	93.5%	89.0%
16. Maintain an end-of-year normal carry-forward balance in targeted workload categories. (Measure: number on hand at end of year)	4,915	5,147	3,934	3,758 (as of 03/31/04)	7,500	11,000	7,500	11,000
17. Reduce the number of days elapsed between the date the appeal is filed and a decision is rendered. (Measure: average elapsed days)	189	200	181	215 (as of 03/31/04)	180	200	180	200

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<b>Performance Goal I-B: Provide relevant, timely, and accurate information which is easy to understand.</b>								
1. Inquirer receives answer or acknowledgment of written correspondence within 15 days of receipt. (Measure: % $\leq$ 10 processing days <sup>2/</sup> )	99.00%	98.9%	99.3%	99.3% (as of 03/31/04)	97.0%	93.0%	97.0%	91.0%
2. Achieve quality and accuracy of correspondence, publications, and voice communications. (Measure: surveys and reviews;  number of valid challenges to published data)	Completed study of initial award letters.	Draft report completed in FY 2002, as scheduled.	Deferred	ACSI deferred	Conduct an ACSI survey	ACSI deferred	Conduct an ACSI survey	Conduct an ACSI survey
			0 valid challenges to published data. The FY 2003 report was issued 01/23/04.	No challenges as of 07/13/04.	No more than two valid challenges to published data in FY 2005.	No more than two valid challenges to published data in FY 2005.	No more than two valid challenges to published data in FY 2006.	No more than two valid challenges to published data in FY 2006.
3. Maintain the combined balance of unprocessed record corrections and cases requiring review for corrected tax statements below the end-of-year normal working level. (Measure: number on hand at end of year)	517	432	93	60 (as of 03/31/04)	500	1,200	500	1,200
<b>Performance Goal I-C: Provide a range of choices in service delivery methods.</b>								
1. Offer electronic options to our customers, allowing them alternative ways to perform primary services via the Internet or interactive voice response systems. (Measure: # of services available through electronic media)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	9 services available	20	17	20	15

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<i><b>Performance Goal I-D:</b> Ensure efficient and effective business interactions with covered railroad employers.</i>								
1. Improve timeliness and efficiency in posting service and compensation data to agency records. (Measure: % of service and compensation records posted by April 15)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	95.0%	95.0%	95.0%	90.0%
2. Improve accuracy in posting service and compensation data to agency records. (Measure: % of service and compensation records posted accurately)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	95.0%	95.0%	99.0%	95.0%
3. Covered employer annual reports of employees filed electronically, or on magnetic media. (Measure: % of employee records filed electronically, or on magnetic media)	97.45%	98.2%	97%	97% (as of 03/31/04)	97.0%	97.0%	98.0%	97.0%
4. Enable employers to use the Internet to conduct business with the RRB, in support of the Government Paperwork Elimination Act. (Measure: % of employers who use the new on-line reporting process (Employer Reporting System - ERS); # of services available through electronic media)	New indicator for FY 2003	New indicator for FY 2003	Deferred	Number of employers who have Internet capability is not yet available. 18% of total employers (with employees) have ERS Internet access.  4 Internet services available	50%  5 Internet services available	30%  3 Internet services available	55%  7 Internet services available	25%  4 Internet services available
5. Resolve problem situations with covered employers timely and appropriately. (Measure: % of reported problems resolved within 90 days)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	97.0%	95.0%	97.0%	90.0%

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<b><i>STRATEGIC GOAL II: Serve as Responsible Stewards for Our Customers' Trust Funds and Agency Resources</i></b>								
<b><i>Performance Goal II-A: Ensure that trust fund assets are projected, collected, recorded and reported appropriately.</i></b>								
1. Debts will be collected through billing, offset, reclamation, referral to outside collection programs and a variety of other collection efforts. (Measure: funds collected vs. total debts outstanding)	53%	64%	66%	48% (as of 03/31/04)	49%	45%	49%	41%
2. Release quarterly and annual notices accurately and timely to employers regarding their experience rating based contributions. (Measure: Yes/No)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	Yes	Yes	Yes	Yes
3. Complete compensation reconciliations at least 1 year before the statute of limitations expires. (Compensation reconciliations involve a comparison of compensation reported by railroad employers to the RRB for benefit calculation purposes with compensation reported to the IRS for tax purposes.) (Measure: % completed)	100% of the 1998 recon- ciliations by 02/26/2001.	100% of the 1999 recon- ciliations by 02/15/2002.	100% of the 2000 recon- ciliations by 02/18/2003.	100% of the 2001 recon- ciliations by 02/20/2004.	100% of the 2002 recon- ciliations by 02/28/2005.	75% of the 2002 recon- ciliations by 02/28/2005.	100% of the 2003 recon- ciliations by 02/28/2006.	75% of the 2003 recon- ciliations by 02/28/2006.
4. Perform monthly reasonableness tests comparing railroad retirement taxes deposited electronically, which represent over 99 percent of all railroad retirement taxes, against tax receipts transferred to the RRB trust funds by the Department of the Treasury (Treasury) to provide reasonable assurance the RRB trust funds are receiving appropriate tax funds. (Measure: reasonableness test performed and anomalies reconciled with Treasury (Yes/No))	New indicator for FY 2003	New indicator for FY 2003	Yes	Yes (as of 03/31/04)	Yes	Yes	Yes	Yes

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5. Prepare annual Performance and Accountability Reports (including audited financial statements and other financial and performance reports) by the required due dates. (Measure: Yes/No)	New indicator for FY 2004 (Financial statements completed timely)	New indicator for FY 2004 (Financial statements completed timely)	New indicator for FY 2004 (Financial statements completed timely)	Yes. The FY 2003 P&AR was released in January 2004.	Yes	No. The annual Performance and Accountability Report will be prepared, but not by the required due date.	Yes	No. The annual Performance and Accountability Report will be prepared, but not by the required due date.
6. Take prompt corrective action on audit recommendations. (Measure: % of audit recommendations implemented by target date)	91.7%	94.4%	94.1%	93.1% (as of 03/31/04)	90%	75%	95%	80%
<b>Performance Goal II-B: Ensure the integrity of benefit programs.</b>								
1. Achieve a return of at least \$3.60 for each dollar spent on program integrity activities. (Measure: \$ recoveries & savings per \$ spent)	\$5.47 : \$1	\$5.48 : \$1	\$5.68 : \$1	Data available at end of calendar year	\$4.50 : \$1	\$3.80 : \$1	\$4.50 : \$1	\$3.60 : \$1
2. Maintain active wage matches with all 50 States to ensure the accuracy of benefit payments. (Measure: # of States matching)	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC	50 States, plus Puerto Rico & Washington, DC
3. Ensure ongoing entitlement to disability by conducting continuing disability reviews. (Measure: # of continuing disability reviews on hand at the end of year does not exceed normal working balance. (Yes/No.))	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	Yes	No	Yes	No

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<i>Performance Goal II-C: Ensure effectiveness, efficiency, and security of operations.</i>								
1. Continue succession planning by ensuring there is a cadre of highly skilled employees available for key positions. (Measure for FY 2004 and FY 2005: # of position types (descriptions) for which core competencies have been defined # of employees whose skills have been assessed # of employees involved with skills-enhancement programs)	New indicator	New indicator	New indicator	1 position type	3	1	See below	See below
	New indicator	New indicator	New Indicator	39 employees	93	43		
	New indicator	New indicator	New indicator	18 employees (as of 03/31/04)	93	43		
(Measure for FY 2006 and later: structured succession planning activities are continuing – Yes/No)							Yes	No
2. Annually assess/update all computer security, disaster recovery, and business resumption plans for the agency. (Measure: Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Assessment completed, updating in progress.	Assessments and updates of security and continuity of operation plans designated for the year will be accom- plished.	Only the assessments and updates of security and continuity of operation plans designated for the year that do not require contractual assistance will be accom- plished.	Assessments and updates of security plans and continuity of operation plan testing exercises will be accom- plished.	Only the assessments and updates of security plans for systems with major changes will be accom- plished.

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3. Develop and implement new procedures for responding to and reporting computer security incidents. (Measure: Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Procedures developed, reports of incidents are documented.	Ongoing development and implementation of new procedures for the detection and reporting of computer security incidents will be accomplished.	The ongoing development of the system required to identify and provide information of computer security incidents will not be completed. The existing procedures based on the capabilities of the current operational intrusion detection system may be insufficient to detect and respond to security incidents and could cause irreparable damage to computer systems.	Procedures are in place and security incident reports are produced on a regular basis. Responses to significant incidents are immediately available.	Procedures are in place but delayed reporting of incidents may result without sufficient resources to detect incidents. Delayed responses to significant incidents could jeopardize operations.

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4. Assess computer security training requirements and implement an ongoing training program for agency staff. (Measure: Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Training needs assessed based on audit findings. Training provided based on available funds and priorities.	Security training will be provided based on the assessed needs of agency staff.	Based on assessed needs of agency staff, training in computer security will be limited to only the highest priority requirements subject to availability of funds.	Security training will be provided based on the assessed needs of agency staff.	Based on assessed needs of agency staff, training in computer security will be limited to only the highest priority requirements subject to availability of funds.
5. Implement a methodology to successfully estimate, track and monitor total costs and time schedules for information technology investments through the project life cycle, incorporating both web and mainframe investments. (Measure: Yes/No)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	Research will be conducted to ascertain the requirements for full, agency-wide implementa- tion of new project management software. Additional software licenses, training, and consulting assistance will be required for pilot imple- mentation.	Pilot implementa- tion of the new project management software will not be possible at this funding level.	An assessment of the new project management software pilot will be performed. Based on the assessment, additional software licenses and training will be required to allow for full implementation.	Full implementa- tion of the new project management software will not be possible at this funding level.



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6. Assemble and publicize an annual inventory of RRB commercial activities on the RRB Website. (Measure: Yes/No)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7. Complete public-private competitions on the required activities listed on the Federal Activities Inventory Reform (FAIR) Act inventory. (Measure: % of the FTE's listed on the FAIR Act inventory for which competitions completed)	New indicator for FY 2002	5%	5% (cumulative)	On track to meet the target level	Meet target level established by OMB	Meet target level established by OMB	Meet target level established by OMB	Meet target level established by OMB
8. Meet government percentage goal for use of performance-based contracting techniques for eligible service contract funds. (Measure: Yes/No)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	Yes	Yes	Yes	No
9. Support government-wide procurement of e-Government initiatives using the point of entry vehicle of <a href="http://www.FedBizOpps.gov">www.FedBizOpps.gov</a> for all eligible actions. (Measure: Yes/No)	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	New indicator for FY 2005	Yes	Yes	Yes	Yes
10. Complete migration from the agency's current payroll system to the consolidated Federal e-Payroll system. (Measure: Meet target dates for the migration. Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Yes	FY 2004 goal	FY 2004 goal	FY 2004 goal	FY 2004 goal
11. Implement a methodology to determine unit costs of key production workloads. (Measure: # of key workloads with unit cost information )	Deferred	A methodology for disability processing has been developed.	2 key workloads (unemployment and sickness benefit processing)	1 workload (initial retirement application)	1 workload	Deferred	Discontinued	Discontinued
12. Achieve specific goals for unit costs of key workloads for years subsequent to implementation of new methodology. (Measure: #of unit cost goals achieved)	Deferred	Deferred	Deferred	Deferred	1 workload	Deferred	Discontinued	Discontinued

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<i><b>Performance Goal II-D:</b> Effectively carry out the responsibilities of the Railroad Retirement Board under the Railroad Retirement and Survivors' Improvement Act of 2001 with respect to the activities of the National Railroad Retirement Investment Trust.</i>								
1. Review monthly reports submitted by the Trust. (Measure: Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Yes	Yes	Yes	Yes	Yes
2. Review annual management reports submitted by the Trust. (Measure: Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Yes	Yes	Yes	Yes	Yes
3. Review annual audit reports of the Trust's financial statements. (Measure: Yes/No)	New indicator for FY 2004	New indicator for FY 2004	New indicator for FY 2004	Yes	Yes	Yes	Yes	Yes